

YOUTH SERVICES POLICY

Title: Composition/Location/Retention of Active and Inactive Youth Records Next Annual Review Date: 05/29/2010	Type: B. Classification, Sentencing and Service Functions Sub Type: 3. Records Number: B.3.1
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References: ACA Standards 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03 and 2-CO-1E-04 (Administration of Correctional Agencies); 4-JCF-6F-01 and 4-JCF-6F-02 (Performance-Based Standards for Juvenile Correctional Facilities); YS Policy Nos. B.2.1 "Assessment, Reassessment, Release and Discharge of Youth; and B.3.2 "Access to and Release of Active and Inactive Records"; and Children's Code Article 897.1	
Approved By: <i>Mary L. Livers, MSW, Ph.D., Deputy Secretary</i>	Date of Approval: 05/29/2009

I. AUTHORITY:

Deputy Secretary of Youth Services as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

To establish the Deputy Secretary's policy regarding the contents of Master Records and a uniform record format of youth assigned to a secure care facility.

III. APPLICABILITY:

Deputy Secretary, Assistant Secretary, Chief of Operations, Deputy Assistant Secretary/Facilities, Facility Directors, Treatment Directors and Social Services personnel are responsible for implementing and maintaining compliance with this policy.

IV. DEFINITIONS:

Assessment Summary - a composite history of a youth including: identifying information; a summary of prior social information; reason(s) for commitment; family background; academic history/vocational interests; psychological/psychiatric assessment; health and personal history; present state of functioning/impression; pertinent family information; gang affiliation and firearms information; history of abuse; history of witnessing traumatic events; history of substance abuse and recommendations.

Children's Code Article 897.1 - specifies placement of a youth in a secure care facility until the age of twenty-one years without benefit of parole, probation, suspension of imposition or execution of sentence, or modification after adjudication of a felony-grade delinquent act of first degree murder, second degree murder, aggravated rape, aggravated kidnapping or treason. For the offense of armed robbery, the youth shall be placed in a secure care facility for the length of the term imposed by the court without benefit of parole, probation, suspension of imposition or execution of sentence, or modification.

Court Documents - all official documents from the court including petitions, court minutes, judgments, commitment orders and any other documents authorizing Youth Services (YS) to accept custody, to allow reassignment, release or discharge of youth.

Face Sheet - a form containing identifying, legal and family information.

IIP Monthly Assessment Form - a brief overall statement regarding a youth's progress toward goal accomplishment. [Refer to YS Policy B.2.2, Attachment (g)]

Initial Individualized Intervention Plan (IIP) - a plan developed within seven (7) days of a youth's arrival into direct intake at a secure care facility. The initial IIP specifies problem areas, goals and objectives, and the methods used to attain them, including the role of the youth and the staff. Development of this plan is accomplished through the collaborative effort between the case manager and the youth. The treatment needs will also be prioritized based upon a review of the youth's record and recommendations made by the biopsychosocial assessment. The IIP is modified throughout the youth's stay as need areas are identified. [Refer to YS Policy No. B.2.2, Attachment B.2.2 (a.1)]

Initial Intake Form - an admission summary report including: name; address; legal information; summary of criminal history, if any; brief social history; medical, dental and mental health information; educational and work history, if any; recreational interests; physical limitations; religious background; psychological evaluation; living area assignment and staff reports; precautions and problem areas; any gang affiliation and firearms information and recommendations.

Mental Health Status Check List - a form indicating: appearance; stress symptoms; orientation; thought content/processes; medical screening; affect display; conversation; intellectual functioning and a brief summary.

Progress Notes - notations of any case activity made in the master record. Progress notes should routinely be made by the youth's case manager about progress toward meeting identified goals, resolution of identified problems and any other area of the youth's secure care progress. [Refer to YS Policy No. B.2.2, Attachment B.2.2 (d)]

Quarterly Progress Report - reclassification culminates in a written report to the court(s) of jurisdiction and the applicable Regional Office, summarizing the youth's progress in identified need areas, participation/progress in education, recreation, religion and medical, as well as behavior and discipline. It also identifies the youth's progress in meeting goals and objectives as specified on the Case Plan/Treatment Plan.

Reintegration/Transition Plan - a written plan prepared by the youth's assigned caseworker, who identifies follow-up services needed by the youth upon release to facilitate successful transition and reintegration into the community and that is coordinated with DYS to be used in completing an aftercare plan. [Refer to YS Policy No. B.2.1, Attachment (b)]

Sentence Computation Worksheet - a statement resulting from the determination of the date of maximum duration of court disposition based upon court documents and other available information.

V. POLICY:

- A. The Master Record for each youth will be initiated by direct intake at each secure facility.
- B. Each facility is responsible for maintaining the official youth record. The case manager shall be responsible for the accuracy of information contained therein. Any previous (archived) record shall be incorporated into a new record.
- C. Upon transfer, the facility record shall be simultaneously forwarded from the sending facility, except in emergency cases. In such emergency situations, essential information (need for authorization of suicide watch, medical diagnosis, etc.) shall be relayed at the time of transfer. In rare cases, in the event of an emergency transfer, if the facility record is not forwarded simultaneously, the record shall be forwarded within 24 hours to the receiving facility.
- D. Each facility shall control access to youth records with respect for the right to privacy, secure placement and preservation of records, and safeguards from unauthorized and improper disclosure. Confidentiality is to be ensured. Each facility shall develop all procedures necessary to ensure that only those with legitimate business and a lawful right to the information shall have access to the records.

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- E. All entries in youth records are to be dated and signed by the person making the entry. The employee signing the record shall indicate their professional affiliation, i.e., M.D., R.N., SW, CPM, SSC, etc.
- F. The Master Record shall be an 8-part letter-sized folder.
- G. No information shall be stapled or written on the outside of the record except that which is contained in an area stamped on the front left side of the record (see attached stamp format and description of information). No other information, dots, codes, etc. may be placed on the outside of the record without approval of the Deputy Secretary.
- H. Records of youth exiting the system are to be maintained at the exiting facility for a period of six (6) months in order to coincide with the bi-annual Performance-based Standards data collection periods. Therefore, records of youth exiting the system between May 1st and October 30th of each year shall be forwarded to JCY archives by November 15th, and records of youth exiting the system between November 1st and April 30th of each year shall be forwarded to JCY Archives by May 15th.
- I. School records for youth who exit from secure care are retained by the school within the facility exited for a minimum of five (5) years. These records will be forwarded to educational authorities upon request.

VI. FORMAT FOR MASTER RECORD:

- A. The following filing format shall be used. Documents shall be filed in chronological order, with the most recent document on top, and in the order indicated below for each clip.

Clip I: Intake

- 1) Face Sheet
- 2) Sentence Computation
- 3) Signed Release of Information
- 4) Admission Summary
- 5) LSUHSC Clinical Screening
- 6) Security Housing Report
- 7) Biopsychosocial Evaluation
- 8) Other Intake/Assessment Materials/Mental Health Reports from outside agencies
- 9) Materials from the Division of Youth Services

Clip II: Case Management

Summary of Contact Form on top of Clip II

- 1) Initial/Reclassification Custody Scale
- 2) Progress Notes/Group Assessment forms/Certificates
- 3) Group Dynamics Form (JUMP)
- 4) Individual Progress Notes
- 5) Pre-treatment Assessment Form (JUMP)
- 6) Seven Day Review Form (Winter Transitional Unit)
- 7) Individualized Intervention Plan/Case Plan
- 8) Accommodations Form
- 9) IIP Monthly Assessments
- 10) IIP Summary of Staffing Form
- 11) Phase Advancement Form (JUMP)
- 12) Quarterly Progress Report
- 13) Monthly Status Reports, where applicable (to include status reports to the courts)
- 14) Court Proceedings Summary
- 15) Specialized Services referrals
- 16) Admission Review Form (Winter Transitional Unit)
- 17) Release Summary/Reintegration Plan
- 18) Extension/Removal Request (FAST TRACK)
- 19) Consideration for Recommendation of Modification of Disposition Form (YS Policy No. B.2.1)
- 20) Substance Abuse Assessment Form
- 21) Program Orientation

Clip III: Mental Health

- 1) Psychiatric Assessment(s)
- 2) Psychiatric Program Notes
- 3) Psychological Evaluation(s)
- 4) Specialized Services Referral with Response
- 5) Referrals/Group Testing Checklist
- 6) Authorization for Suicide Watch
- 7) Mental Retardation Assessments (SSSQ)
- 8) Mental Health Form (i.e., suicide log, contract, mental status assessment, etc.)
- 9) Monthly LSUHSC Mental Health Reports
- 10) Quarterly LSUHSC Mental Health Reports

Clip IV: Medical

- 1) Accident/Incident Reports
- 2) Medical Reports for Staffing
- 3) Addendums (Local Hospital Emergency Room Forms)

Clip V: Education

- 1) Quarterly Education Evaluation(s) TABE Scores and academic, vocational, college, work detail, if applicable, information/documents.
- 2) Mental Retardation Assessments
- 3) Quarterly Recreation Reports

Clip VI: Disciplinary/Crisis Intervention Unit (CIU)/Risks

- 1) Disciplinary/Incident Reports/UORs
- 2) Offense Behavior Worksheet (JUMP)
- 3) Infraction Notice (JUMP)
- 4) Youth Conduct Summary Form (Dorm Reports)
- 5) Due Process Paperwork (Intra/facility transfers)
- 6) Removal From Programming
- 7) Summary/Conclusion of Substantiated Allegation of Abuse
- 8) Risk Forms (custody, staff alerts, SMI Information/Notification - LSUHSC)
- 9) Protective Custody
- 10) Crisis Intervention Unit Placement and Release Report
- 11) Receipt of the Youth Code of Conduct Manual
- 12) Appeals

Clip VII: Furlough/Telephone/Visitors List

- 1) Requests (to include marriage)
- 2) Denials/Approvals
- 3) Contracts/Agreements
- 4) Furlough History and Results (JETS Data)
- 5) Approved Telephone List
- 6) Visitor's List (JETS)
- 7) Special Visitation Request Form(s)
- 8) Family Visitation Progress Note Contact Form

Clip VIII: Court/Chronology/Documents

- 1) Chronological History Sheet
- 2) Youth Pledge for Safety Contract
- 3) Mail Consent Form
- 4) Telephone Monitoring Form
- 5) Correspondence (to include cover letter to quarterly report and letter to parent concerning substantiated allegations of abuse)
- 6) Detainers
- 7) NCIC Notifications and Cancellations
- 8) Victim Notification Letter
- 9) Copy of Birth Certificate/Birth Verification
- 10) Social Security Card
- 11) Court Documents
- 12) Petitions
- 13) Orientation Form
- 14) Fingerprint Card/Photograph

VII. RETENTION AND PURGING OF INACTIVE RECORDS:

Master Records shall be retained intact at the JCY archives until the youth has reached age twenty-five. After that time the records will be purged, as funds and staff are available, of all but the face sheet, youth's biopsychosocial, facility exit report and court documents.

Previous Regulation/Policy Number: B-03-002 / B.3.1
Previous Effective Date: 05/28/1999



Attachments/References: B.3.1 (a) Stamp Format 5-29-09.doc